UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/630,392	07/30/2003	Prasanna Amitabh	CHA920030017US1	9419

			EXAMINER
23550 7590 02/07/2007 HOFFMAN WARNICK & D'ALESSANDRO, LLC 75 STATE STREET 14TH FLOOR ALBANY, NY 12207			HARRIER, JASON D
		ART UNIT	PAPER NUMBER
		3628	

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	02/07/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>30 July 2003</u>.

2a)☐ This action is **FINAL.**   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-26* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-26* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☒ Information Disclosure Statement(s) (PTO/SB/08)
    Paper No(s)/Mail Date <u>07/30/2003</u>.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____ .

5)☐ Notice of Informal Patent Application

6)☐ Other: _____.

DETAILED ACTION

Claim Rejections - 35 USC § 102

1.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the

basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2.   Claims 1-6, 9-11, 13-16, 18-23, and 26 are rejected under 35 U.S.C. 102(e) as being

anticipated by Angel et a. (U.S. Patent Pub. No. US 2002/0133392 A1) (hereinafter Angel).

As per Claim 1, Angel discloses a customer relationship management (CRM) system

that is accessible via a network, comprising:

- a user interface that provides distributed access for customers and support providers

    to case information within the CRM system; (0025)

- a case management system for managing customer cases, wherein the case

    management system includes a system for assigning cases to different tiers within a

    support provider hierarchy; (0059; 0060; 0065; 0078; 0087; 0100) and

- a compliance tracking system that determines customer compliance and provides a

    compliance indicator on customer case management pages. (0087) (Applicant's

    specification states, "Obviously any [compliance] parameter can be implemented

    without departing from the scope of the invention." (Specification, Pg. 9). Thus,

    Examiner interprets "compliance" broadly as stated in applicant's specification. This

    can include the parameter as to whether a customer should be receiving support from

the current support provider or another support provider. Examiner also interprets the exit node disclosed in Angel as an indicator to the customer support representative that the compliance parameter has not been met.

As per Claim 2, Angel further discloses the CRM system of claim 1, wherein the case management system further includes a notification system for automatically generating emails when a new case is opened. (0060; 0061; 0140)

As per Claim 3, Angel further discloses the CRM system of claim 1, wherein the case management system further includes a system that allows support providers to check-in/check-out cases. (0039)

As per Claim 4, Angel further discloses the CRM system of claim 1, wherein the case management system further includes a set of business rules that determines what level of case information is to be made available to customers and support providers. (0044; 0045; 0046; 0114; 0124)

As per Claim 5, Angel further discloses the CRM system of claim 1, wherein the case management system further includes a set of business rules that determines how cases are to be assigned and escalated among the different tiers of support providers. (0059; 0065; 0087) (Examiner interprets "triggers" to include business rules that may be used to activate a "handoff" to another tier of customer support.)

As per Claim 6, Angel further discloses the CRM system of claim 1, wherein the compliance tracking system includes a set of business rules that determines a compliance risk level for each customer. (0044; 0059)

As per Claim 9, Angel further discloses the CRM system of claim 6, wherein the compliance tracking system includes a system for creating a new customer case when a predetermined compliance risk level occurs. (0059; 0060)

As per Claim 10, Angel further discloses a method for providing customer relationship management (CRM) via a computer network, comprising:

- providing a network node that allows distributed access for customers and support providers to a CRM system; (0043)

- opening a new case within the CRM system when a customer issue occurs; (0105; 0140) (A new user session or ticket is created and saved within a customer database.)

- adding the new case to a customer case management page; (0140)

- displaying a compliance indicator when the customer case management page is viewed; (0087) (Includes an exit node indicator on the customer session page that serves as a trigger to escalate the case to another tier when certain parameters are met.)

- assigning the new case to a first tier support provider; (0039; 0059; 0065; 0087)

- determining if the first tier support provider can handle the new case; (0039; 0059; 0065; 0087) and

- escalating the new case to a second tier support provider if the first tier support provider cannot handle the case. (0039; 0059; 0065; 0087)

As per Claim 11, Angel further discloses the method of claim 10, wherein the network node comprises a web portal. (0025; 0080)

As per Claim 13, Angel further discloses the method of claim 10, comprising the further

step of generating email notifications according to a set of business rules. (0060; 0061; 0140)

As per Claim 14, The method of claim 10, comprising the further step of having an

assigned support provider check out the case from the CRM system. (0039; 0065; 0077; 0087)

(A first support provider determines the proper area for which to provide service and then

transfers the case. Examiner interprets transferring the case to another support provider to

include "checking out" the case from the prior provider.)

As per Claim 15, Angel further discloses the method of claim 10, wherein the step of

opening a new case is performed by the customer at the network node. (0059; 0061) (A user

initiates a session using a network, such as the internet).

As per Claim 16, Angel further discloses the method of claim 10, wherein the step of

opening a new case is initiated automatically when the customer is out of compliance. (0059)

(When certain parameters are met, a new, escalated, customer session is automatically

initialized with another support provider.)

As per Claim 18, Angel further discloses a program product stored on a recordable

medium that provides a customer relationship management (CRM) tool via the web, comprising:

- a portal page for providing distributed access on the web for customers and support

  providers to case information within the CRM tool; (0025; 0039; 0059)

- a customer management module for managing customer cases and for assigning cases

  to different tiers within a support provider hierarchy; (0059; 0065; 0099) and

- a customer compliance module that tracks customer compliance and displays a

  compliance indicator on customer case management pages. (0059; 0065; 0087; 0099)

As per Claim 19, Angel further discloses the program product of claim 18, wherein the case management module further includes a notification system for automatically generating emails when a new case is opened. (0060; 0061; 0140)

As per Claim 20, Angel further discloses the program product of claim 18, wherein the case management module further includes a system that allows support providers to check-in/check-out cases. (0039)

As per Claim 21, Angel further discloses the program product of claim 18, wherein the case management module further includes a set of business rules that determines what level of case information is to be made available to customers and support providers. (0044; 0045; 0046; 0114; 0124)

As per Claim 22, Angel further discloses the program product of claim 18, wherein the case management module further includes a set of business rules that determines how cases are to be assigned and escalated among the different tiers of support providers. (0059; 0060; 0065; 0078; 0087; 0100)

As per Claim 23, Angel further discloses the program product of claim 18, wherein the compliance tracking module includes a set of business rules that determines a compliance risk level for each customer. (0044; 0059)

As per Claim 26, The program product of claim 23, wherein the compliance tracking module includes a system for creating a new customer case when a predetermined compliance risk level occurs. (0059) (When certain parameters are met, a new, escalated, customer session is automatically initialized with another support provider.)

Claim Rejections - 35 USC § 103

3.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

4.   Claims 7-8, 12, 17, 24-25 are rejected under 35 U.S.C. 103(a) as being unpatentable over

Angel in view of Pope et al. (U.S. Patent Pub. No. US 2003/0055737 A1) (hereinafter Pope).

Angel fails to disclose wherein the compliance risk level is selected from the group

consisting of: in compliance, in danger of becoming out of compliance, and out of compliance

and also wherein the compliance indicator comprises a traffic light indicator having a green,

yellow and red light. Pope discloses a software application that uses a stoplight indicator

(green, yellow, red) to indicate the compliance of a particular entity that a user wishes to

perform an electronic transaction with. (0007; 0008; 0033) Pope further discloses that the

green, yellow, and red lights indicate secure (green), risk of security (yellow), and non-secure

(red). It would have been obvious to one of ordinary skill in the art at the time of applicant's

invention to utilize the use of a traffic light as taught by Pope in combination with the

compliance indication taught by Angel because the use of a traffic signal image to indicate

levels of risk, status, or compliance was well-known within the art of software development and

serves as an effective and universal means to indicate risk, status, or compliance within a

software application. Further, it would have been obvious to one of ordinary skill in the art at

the time of applicant's invention to choose compliance risk levels in compliance, danger of

becoming out of compliance, and out of compliance based upon the levels of secure, risk of

insecure, and non-secure as taught by Pope because based upon applicant's broad definition of

"compliance" (Specification, Page 9) the actual compliance parameter could be any parameter

in any industry including a security risk.

Conclusion

Examiner's Note: Examiner has cited particular columns, line numbers, and paragraphs

in the references as applied to the claims above for the convenience of the applicant. Although

the specified citations are representative of the teachings in the art and are applied to the specific

limitations within the individual claim, other passages and figures may apply as well. It is

respectfully requested that the applicant, in preparing responses, fully consider each of the

references in its entirety as potentially teaching all or part of the claimed invention, as well as the

context of the passage as taught by the prior art disclosed by the examiner.

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Jason D. Harrier whose telephone number is (571) 272-5866.

The examiner can normally be reached on Monday - Friday 9:00am - 5:30pm EST..

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, John W. Hayes can be reached on (571) 272-6708. The fax phone number for the

organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent

Application Information Retrieval (PAIR) system. Status information for published applications

may be obtained from either Private PAIR or Public PAIR. Status information for unpublished

applications is available through Private PAIR only. For more information about the PAIR

system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR

system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would

like assistance from a USPTO Customer Service Representative or access to the automated

information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Jason D. Harrier
Art Unit 3628

JDH

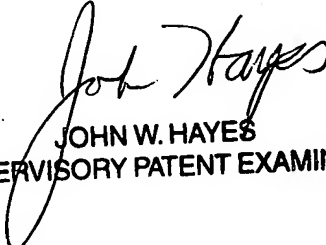Please address mail to be delivered by the United States Postal Service (USPS) as follows:

Commissioner of Patents and Trademarks

Washington, D.C. 20231

Or fax to:

(571) 273-5866 [Informal/Draft communications, labeled "PROPOSED" or "DRAFT"]

Hand delivered responses should be brought to the Customer Service Window, Randolph
Building, 401 Dulany Street, Alexandria, VA 22314.

JOHN W. HAYES
SUPERVISORY PATENT EXAMINER